

07/12/01



J1131 U.S. PTO

07-16-01

A

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37
CFR 1.53(b))

Attorney Docket No. TT4869 Total Pages 72
First Inventor or Application Identifier Shi, et al.
Title **SYSTEM AND SOFTWARE FOR DATA COLLECTION AND
PROCESS CONTROL IN SEMICONDUCTOR MANUFACTURING
AND METHOD THEREOF**
Express Mail Label No. EL855712016US

J1146 U.S. PTO
09/905220
07/12/01

APPLICATION ELEMENTS <i>See MPEP chapter 600 concerning utility patent application contents.</i>	ADDRESS TO: Assistant Commissioner for Patents Box Patent Application Washington, DC 20231
1. <input checked="" type="checkbox"/> Fee Transmittal Form <i>(Submit an original, and a duplicate for fee processing)</i>	6. <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission <i>(if applicable, all necessary)</i>
2. <input checked="" type="checkbox"/> Specification <i>Total Pages 42</i> <i>(preferred arrangement set forth below)</i> <ul style="list-style-type: none">- Descriptive title of the Invention- Cross References to Related Applications- Statement Regarding Fed sponsored R & D- Reference to Microfiche Appendix- Background of the Invention- Brief Summary of the Invention- Brief Description of the Drawings <i>(if filed)</i>- Detailed Description- Claim(s)- Abstract of the Disclosure	a. <input type="checkbox"/> Computer Readable Copy b. <input type="checkbox"/> Paper Copy (identical to computer copy) c. <input type="checkbox"/> Statement verifying identity of above copies
3. <input checked="" type="checkbox"/> Drawings <i>(35 USC 113) Total Sheets 20</i>	ACCOMPANYING APPLICATION PARTS
4. Oath or Declaration <i>Total Pages 3</i> <ul style="list-style-type: none">a. <input checked="" type="checkbox"/> Newly executed (original or copy)b. <input type="checkbox"/> Copy from a prior application <i>(37 CFR 1.63(d))</i> <i>(for continuation/divisional with Box 16 completed)</i>i. <input type="checkbox"/> DELETION OF INVENTOR(S) <i>Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</i>	7. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s)) 8. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of Attorney <i>(when there is an assignee)</i> 9. <input type="checkbox"/> English Translation Document <i>(if applicable)</i> 10. <input type="checkbox"/> Information Disclosure <input type="checkbox"/> Copies of Statement (IDS)/PTO-1449 IDS Citations 11. <input type="checkbox"/> Preliminary Amendment 12. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <i>(Should be specifically itemized)</i> 13. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27 <input type="checkbox"/> Statement filed in Prior Application, Status still proper and desired. 14. <input type="checkbox"/> Certified Copy of Priority Document(s) <i>(if foreign priority is claimed)</i> 15. <input checked="" type="checkbox"/> Request & Certification Under 35 U.S.C. 122(b)(2)(B)(i) 16. <input type="checkbox"/> Other

16. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No:

Prior Application Information: Examiner

Group / Art Unit:

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4B, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label **27412**

or, ☐ Correspondence Address Below

Simon, Galasso & Frantz, PLC

P.O. Box 26503

Austin, Texas 78755-0503

Telephone: 512-336-8957

Facsimile: 512-336-9155

Name and Registration Number (Print/Type)	Miguel Cantu, Reg. No. P48,471		
Signature		Date	7-12-2001

FEE TRANSMITTAL FOR FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) 1,108.00

Complete if Known

Application Number	
Filing Date	
First Named Inventor	Shi, et al.
Group Art Unit	
Examiner Name	
Attorney Docket Number	TT4869

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number	01-0365
Deposit Account Name	Advanced Micro Devices, Inc.

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
☒ Charge the Issue Fee Set in 37 CFR 1.18 at the mailing of the Notice of Allowance
☐ Applicant claims small entity status.

2. ☐ Payment Enclosed:
☐ Check ☐ Money Order ☐ Other

FEE CALCULATION

1. FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 710 201 355		Utility filing fee	710.00
106 320 206 160		Design filing fee	
107 490 207 245		Plant filing fee	
108 710 208 355		Reissue filing fee	
114 150 214 75		Provisional filing fee	

SUBTOTAL (1) (\$) 710.00

2. CLAIMS

Claims	Extra	Fee from below	Fee Paid
Total 31	(-20 =) 11	18.00	198.00
Indep. 5	(-3 =) 2	80.00	160.00
Multiple Dep.			

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18 203 9		Claims in excess of 20
102 80 202 40		Independent claims in excess of 3
104 270 204 135		Multiple dependent claim
109 80 209 40		Reissue independent claims over original patent
110 18 210 9		Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 358.00

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130 205 65		Surcharge - late filing fee or oath	
127 50 227 25		Surcharge - late provisional filing fee or cover sheet.	
139 130 139 130		Non-English specification	
147 2,520 147 2,520		For filing a request for reexamination	
112 920* 112 920*		Requesting publication of SIR prior to Examiner action	
113 1,840* 113 1,840*		Requesting publication of SIR after Examiner action	
115 110 215 55		Extension for reply within first month	
116 390 216 195		Extension for reply within second month	
117 890 217 445		Extension for reply within third month	
118 1,390 218 645		Extension for reply within fourth month	
128 1,890 228 945		Extension for reply within fifth month	
119 310 219 155		Notice of Appeal	
120 310 220 1550		Filing a brief in support of an appeal	
121 270 221 135		Request for oral hearing	
138 1,510 138 1,510		Petition to institute a public use proceeding	
140 110 240 55		Petition to revive - unavoidable	
141 1,240 241 620		Petition to revive - unintentional	
142 1,240 242 620		Utility issue fee (or reissue)	
143 440 243 220		Design issue fee	
144 600 244 300		Plant issue fee	
122 130 122 130		Petitions to the Commissioner	
123 50 123 50		Petitions related to provisional applications	
126 240 126 240		Submission of Information Disclosure Stmt	
581 40 581 40		Recording each patent assignment per property (times number of properties)	40.00
146 710 246 355		Filing a submission after final rejection (37 CFR 1.129(a))	
149 710 249 355		For each additional invention to be examined (37 CFR 1.129(b))	
Other fee (specify)			
Other fee (specify)			

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

40.00

SUBMITTED BY: Simon, Galasso & Frantz, PLC.

Complete (if applicable)

Typed or Printed Name

Miguel Cantu, Reg. No. P48,471

Signature

Miguel Cantu

Date

7-12-2001

Deposit Account User ID

REQUEST AND CERTIFICATION UNDER 35 U.S.C. 122(b)(2)(B)(i)	First Named Inventor	Shi, et al.
	Title	SYSTEM AND SOFTWARE FOR DATA COLLECTION AND PROCESS CONTROL IN SEMICONDUCTOR MANUFACTURING AND METHOD THEREOF
	Atty Docket Number	TT4869

I hereby certify that the invention disclosed in the attached application has not and will not be the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. However, the Applicant retains the option to rescind this request at any time. I hereby request that the attached application not be published under 35 U.S.C. 122 (b).

7-12-2001

Date



Signature

Miguel Cantu, Reg. No. P48,471

Typed or Printed Name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published at eighteen months from the earliest claiming filing date for which a benefit is claimed.

If Applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the Applicant must notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Shi, et al.

Examiner:

Serial No:

Art Group:

Filing Date:

Docket No: TT4869

Title: SYSTEM AND SOFTWARE FOR DATA COLLECTION AND PROCESS
CONTROL IN SEMICONDUCTOR MANUFACTURING AND METHOD
THEREOF

To the Honorable Commissioner
of Patents and Trademarks
Washington, D.C. 20231

CERTIFICATE OF EXPRESS MAILING

Express Mail Label No. EL855712016US

Name of Depositor: **Terri Alloway**
(print or type)

Date of Deposit: 7-12-2001

Signature: Terri Alloway

I hereby certify that this paper and the items identified below are being deposited with the U.S. Postal Service "Express Mail Post Office to Addresses" service under 37 C.F.R. Section 1.10 on the 'Date of Deposit', indicated above, and is addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231.

- ☒ Items accompanying this Certificate of Express Mailing:
- ☒ Filing papers for a new patent application, such filing papers include:
- ☒ A specification and drawings for a new patent application;
 - ☒ Request and Certification Under 35 U.S.C. 122(b)(2)(B)(i)
 - ☒ Transmittal cover letter;
 - ☒ Fee Transmittal;
 - ☒ Assignment agreement with Recordation Form Cover Sheet;
 - ☒ Combined Declaration and Power of Attorney;
 - ☐ Information Disclosure Statement; and
 - ☒ Return upon receipt post card.